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PTO/SB/08A (07-05)

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| Substitute for form 1449A/PTO | | Complete if Known | |
| INFORMATION DISCLOSURE STATEMENT BY APPLICANT | | Application Number | 10/850,189 |
| | | Filing Date | August 27, 2003 |
| | | First Named Inventor | Leung, Albert |
| | | Art Unit | 2168 |
| | | Examiner Name | Greta Lee Robinson |
| (Use as many sheets as necessary) | | Attorney Docket Number | 021164-000510US |
| Sheet | 1 | of | 2 |

| U.S. PATENT DOCUMENTS | | | | | |
|--------------------------------|----------|---|--------------------------------|--|---|
| Examiner Initials ^a | Cite No. | Document Number Number Kind Code ^b (if known) | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear |
| | AA | US-6,920,447 B2 | 07-2005 | Pudipeddi et al. | |
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| | AG | US- | | | |
| | AH | US- | | | |
| | AI | US- | | | |
| | AJ | US- | | | |
| | AK | US- | | | |
| | AL | US- | | | |
| | AM | US- | | | |
| | AN | US- | | | |
| | AO | US- | | | |
| | AP | US- | | | |
| | AQ | US- | | | |
| | AR | US- | | | |

| FOREIGN PATENT DOCUMENTS | | | | | | | | |
|--------------------------------|----------|---------------------------|---------------------|-----------------------------------|--------------------------------|--|---|--------------------------|
| Examiner Initials ^a | Cite No. | Foreign Patent Document | | | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear | 7 ^d |
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| Examiner Signature |  | Date Considered | 4/11/05 |
|--------------------|---|-----------------|---------|

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|---|---|----|---|--------------------------|--------------------|
| Substitute for form 1449B/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use as many sheets as necessary) | | | | Complete If Known | |
| | | | | Application Number | 10/650,189 |
| | | | | Filing Date | August 27, 2003 |
| | | | | First Named Inventor | Leung, Albert |
| | | | | Art Unit | 2168 |
| | | | | Examiner Name | Greta Lee Robinson |
| Sheet | 2 | of | 2 | Attorney Docket Number | 021154-000510US |

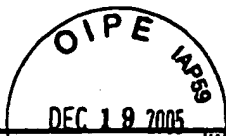
| NON PATENT LITERATURE DOCUMENTS | | | |
|---------------------------------|-------------|---|--------------------------|
| Examiner Initials * | Cite No. | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. | T ² |
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| Examiner Signature |  | Date Considered | 4/11/06 |
|-----------------------|---|--------------------|---------|

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¹ Applicant's unique citation designation number (optional). ² Applicant is to place a check mark here if English language Translation is attached.

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PTO/SB/08A (08-03)

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|--|---|--------------------------|-----------------|
| Substitute for form 1449A/PSO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary) | | Complete If Known | |
| | | Application Number | 10/650,189 |
| | | Filing Date | August 27, 2003 |
| | | First Named Inventor | Leung, Albert |
| | | Art Unit | 2161 |
| | | Examiner Name | Safet Metjahic |
| | | Attorney Docket Number | 021154-000510US |
| Sheet | 1 | of | 2 |


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| Examiner Initials* | Cite No. ¹ | Document Number | | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear |
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| | AK | US- | | | | |
| | AL | US- | | | | |
| | AM | US- | | | | |
| | AN | US- | | | | |
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| | AP | US- | | | | |
| | AQ | US- | | | | |
| | AR | US- | | | | |
| | AS | US- | | | | |
| | AT | US- | | | | |

| FOREIGN PATENT DOCUMENTS | | | | | | | | |
|--------------------------|--------------------------|---------------------------|---------------------|-----------------------------------|--------------------------------|---|--|--------------------------|
| Examiner Initials* | Cite No. ¹ | Foreign Patent Document | | | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear | T ⁶ |
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| | BA | | | | | | | <input type="checkbox"/> |
| | BB | | | | | | | <input type="checkbox"/> |

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|-----------------------|-------------|--------------------|---------|
| Examiner Signature | [Signature] | Date Considered | 4/11/06 |
|-----------------------|-------------|--------------------|---------|

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60658586 v1

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|---|---|----|---|--------------------------|-----------------|
| Substitute for form 1449B/PTO | | | | Complete if Known | |
| INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary) | | | | Application Number | 10/650,189 |
| | | | | Filing Date | August 27, 2003 |
| | | | | First Named Inventor | Leung, Albert |
| | | | | Art Unit | 2161 |
| | | | | Examiner Name | Safet Metjahic |
| Sheet | 2 | of | 2 | Attorney Docket Number | 021154-000510US |

| NON PATENT LITERATURE DOCUMENTS | | | |
|---|--------------------------|---|----------------|
| Examiner Initials * | Cite No. ¹ | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. | T ² |
|  | BC | SUN (Sun Microsystems, Inc., "Solstice Backup™ 5.5, Administration Guide", Part No. 806-1135-10, September 1999, Revision A), pg. 1-2, 140-141. | |
| | BD | | |
| | BE | | |
| | BF | | |
| | BG | | |
| | BH | | |
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| | BJ | | |
| | BK | | |
| | BL | | |
| | BM | | |

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|-----------------------|---|--------------------|---------|
| Examiner Signature |  | Date Considered | 4/11/06 |
|-----------------------|---|--------------------|---------|

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¹ Applicant's unique citation designation number (optional). ² Applicant is to place a check mark here if English language Translation is attached.

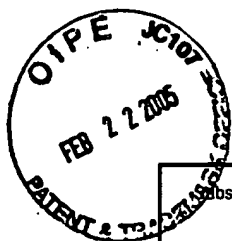
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| Substitute for form 1449B/PTO | | | | Complete if Known | |
| INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary) | | | | Application Number | 10/650,189 |
| | | | | Filing Date | August 27, 2003 |
| | | | | First Named Inventor | Leung, Albert |
| | | | | Art Unit | 2171 |
| | | | | Examiner Name | Unassigned |
| Sheet | 2 | of | 2 | Attorney Docket Number | 021154-000510US |

| NON PATENT LITERATURE DOCUMENTS | | | |
|---------------------------------|--------------------------|--|----------------|
| Examiner Initials * | Cite No. ¹ | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. | T ² |
| CA | AA | MOORE et al., "Policy Core Information Model Extensions," Internet Draft, DRAFT-IETF-POLICY-PCIM-EXT-06.TXT, 11/8/01, pages 1-85 downloaded from http://www.watersprings.org/pub/id/draft-ietf-policy-pcim-ext-06.txt on 2/2/05. | |
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| | AC | WATERS et al., "Policy Framework Architecture," Internet Draft, DRAFT-IETF-POLICY-ARCH-00.TXT, 2/26/99, pages 1-18 downloaded from http://www.watersprings.org/pub/id/draft-ietf-policy-arch-00-txt on 3/2/05. | |
| ↓ | AD | WOLFSON et al., "Managing Communication Networks by Monitoring Databases," <u>IEEE Trans. Software Engineering</u> , 17(9):944-953 (1991). | |
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PTO/SB/08A (08-03)

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| | | | First Named Inventor | Leung, Albert | |
| | | | Art Unit | 2171 | |
| | | | Examiner Name | Unassigned | |
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| U.S. PATENT DOCUMENTS+ | | | | | |
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| Examiner Initials* | Cite No. ¹ | Document Number | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear |
| | | Number Kind Code ² (if known) | | | |
| On | AA | US-6,631,477 | 10-07-2003 | LeCrone et al. | |
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| | AU | US-2004/0039891 | 02-26-2004 | Leung et al. | |
| | AV | US-2003/0115204 | 06-19-2003 | Greenblatt et al. | |
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| ✓ | AZ | US-2001/0034795 | 10-25-2001 | Moulton et al. | |

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| Examiner Signature | | Date Considered | 4/11/02 |
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| | | | Application Number | 10/650,189 | |
| | | | Filing Date | August 27, 2003 | |
| | | | First Named Inventor | Leung, Albert | |
| | | | Art Unit | 2171 | |
| Examiner Name | Unassigned | | | | |
| Sheet | 2 | of | 3 | Attorney Docket Number | 021154-000510US |

| FOREIGN PATENT DOCUMENTS | | | | | | | | |
|--------------------------|--------------------------|---------------------------|---------------------|-----------------------------------|--------------------------------|---|--|--------------------------|
| Examiner Initials* | Cite No. ¹ | Foreign Patent Document | | | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear | T ⁶ |
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| Examiner Signature | <i>B. Reber</i> | Date Considered | 4/4/06 |
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| | | | Filing Date | August 27, 2003 | |
| | | | First Named Inventor | Leung, Albert | |
| | | | Art Unit | 2171 | |
| | | | Examiner Name | Unassigned | |
| Sheet | 3 | of | 3 | Attorney Docket Number | 021154-000510US |

| NON PATENT LITERATURE DOCUMENTS | | | |
|---------------------------------|--------------------------|---|----------------|
| Examiner Initials * | Cite No. ¹ | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. | T ² |
| Car | BL | Microsoft Corporation, Microsoft Windows 2000 Server white paper, Enterprise Class Storage in Windows 2000, 1999, pgs. 11, 19, 20. | |
| | BM | The PC Guide, May 11, 2001, downloaded from http://web.archive.org/web/20010626140029/www.pcguide.com/ref/hdd/file/ntfs/secRes-c.html on 4/7/04 | |
| ↓ | BN | SIYAN, K.S., "Windows 2000 Server Professional Reference, July 10, 2000, ISBN 0-7357-0952-1," Implementing File System Security Using File Permissions, chapter 9. | |
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PTO/SB/08A (08-03)

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|---|---|----|--------------------------|------------------------|-----------------|
| Substitute for form 1449 PTO | | | Complete if Known | | |
| INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary) | | | Application Number | 10/650,189 | |
| | | | Filing Date | August 27, 2003 | |
| | | | First Named Inventor | Leung, Albert | |
| | | | Art Unit | 2171 | |
| | | | Examiner Name | Unassigned | |
| Sheet | 1 | of | 2 | Attorney Docket Number | 021154-000510US |

| U.S. PATENT DOCUMENTS+ | | | | | |
|------------------------|--------------------------|--|--------------------------------|--|---|
| Examiner Initials* | Cite No. ¹ | Document Number | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear |
| | | Number Kind Code ² (if known) | | | |
| an | AA | US-6,519,637 | 02-11-2003 | Arkeketa, et al. | |
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| | AC | US-6,460,070 | 10-01-2002 | Turek, et al. | |
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| | AQ | US-5,606,689 | 02-25-1997 | Nakagawa | |
| | AR | US-5,506,986 | 04-09-1996 | Healy | |
| | AS | US-5,485,606 | 01-16-1996 | Midgley et al. | |
| | AT | US-5,202,982 | 04-13-1993 | Gramlich et al. | |
| | AU | US-5,131,087 | 07-14-1992 | Warr | |
| | AV | US-5,063,523 | 11-05-1991 | Milan J. Vrenjak | |
| ✓ | AW | US-2002/0174139 | 11-21-2002 | Midgley et al. | |
| | AX | US-2001/0037475 | 11-01-2001 | Bradshaw et al. | |

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| Examiner Initials* | Cite No. ¹ | Foreign Patent Document | | | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear |
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| INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary) | | | | Application Number | 10/650,189 |
| | | | | Filing Date | August 27, 2003 |
| | | | | First Named Inventor | Leung, Albert |
| | | | | Art Unit | 2171 |
| | | | | Examiner Name | Unassigned |
| Sheet | 2 | of | 2 | Attorney Docket Number | 021154-000510US |

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